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Broker-Dealer Litigation 2012 Annual Survey.

This Survey identifies significant court decisions and administrative proceedings before the SEC and FINRA, which involve issues relevant to broker-dealers and investment banking firms during the year 2012. Although the Survey does not purport to necessarily be comprehensive, it is intended to include all notable decisions and proceedings during 2012.

http://www.sifma.org/uploadedfiles/for_members/thought_leader_library/2013/2012-annual-broker-dealer-survey.pdf?n=23091

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